

Serve Alabama, the Governor's Office of Faith Based and Volunteer Service



Functional Analysis & Records Disposition Authority

**Revision
Presented to the
State Records Commission
October 23, 2013**

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Functional and Organizational Analysis of Serve Alabama, the Governor's Office of Faith Based and Volunteer Service

Sources of Information

- Representatives of Serve Alabama, the Governor's Office of Faith Based and Volunteer Service
- Governor's Executive Orders 10 (Nov. 5, 1993), 40 (Feb. 12, 1998), 14 (Jan. 6, 2000), 41 (Dec. 15, 2000), 21 (June 22, 2004), and 30 (May 24, 2012)
- Alabama Government Manual (2010), pp. 363-366.
- Serve Alabama, the Governor's Office of Faith Based and Volunteer Service websites, www.serve.alabama.gov and www.readyalabama.gov.

Historical Context

The Governor's Office on National and Community Service was created in 1993 by Gubernatorial Executive Order No. 10 (Nov. 5, 1993). Also created under the same order was the State Commission on National and Community Service, which provides oversight to the Governor's Office on National and Community Service. Gubernatorial Executive Order No. 40 (Feb. 12, 1998) placed the office under the Alabama Department of Economic and Community Affairs (ADECA). Gubernatorial Executive Order No. 14 (Jan. 6, 2000) transferred the office back to the governor's office. Gubernatorial Executive Order No. 41 (Dec. 15, 2000) moved the office again back to ADECA. Gubernatorial Executive Order No. 21 (June 22, 2004) created the Governor's Office of Faith Based and Community Initiatives and all appropriations, funds, personnel, records, equipment, and other property of the Governor's Office on National and Community Service were transferred to the new office, which was placed under the governor. To further advise the governor and the State Commission on National and Community Service regarding matters affecting public community and faith-based organizations, the order also created an Advisory Board on Faith-Based and Community Initiatives. Gubernatorial Executive Order No. 30 (May 24, 2012) officially changed the name of the agency from the Governor's Office of Faith Based and Community Initiatives to Serve Alabama, the Governor's Office of Faith Based and Volunteer Service. The order also eliminated the Advisory Board on Faith Based and Community Initiatives.

Agency Organization

The State Commission on National and Community Service is composed of at least fifteen (15) voting members, who are appointed by the governor on a bi-partisan basis for three-year terms. The enabling order also provides that all appointments are to be balanced according to race, ethnicity, age, disability, and gender characteristics. One appointment must be the state superintendent of education or his/her representative. No more than 25 percent of the voting members may be employees of state government, though additional state agency representatives and employees of the state system of higher education may sit on the commission as non-voting, ex-officio members. Members are eligible for two consecutive terms, and when vacancies among

members occur, they are filled by the governor for the remainder of the unexpired term. Officers of the commission are elected by voting commission members from among their ranks for a term of one year, and consist of a chair, vice-chair, secretary, and treasurer. Commission meetings are held at least quarterly. Serve Alabama is managed by a director appointed by the governor. The director reports to the chief of staff of the governor. The governor may appoint additional staff members to assist in the administration of the programs of the office. The Department of Mental Health serves as the fiscal agent for this office.

Agency Function and Subfunctions

The mandated function of Serve Alabama, the Governor's Office of Faith Based and Volunteer Service is to promote and coordinate community service and volunteer participation in government and private programs in the state. It is one of the agencies responsible for performing the Client Services function of Alabama government.

In performance of its mandated function, Serve Alabama, the Governor's Office of Faith Based and Volunteer Service may engage in the following subfunctions.

- **Coordinating Various Volunteer Service Programs.** Staff members of Serve Alabama, the Governor's Office of Faith Based and Volunteer Service recommend statewide volunteer service programs (such as AmeriCorps and Citizen Corps, etc.) for review and approval by the State Commission on National and Community Service, develop a central information clearinghouse on volunteer service opportunities, recruit applicants for programs, review applicants, make recommendations on funding for approval by the State Commission on National and Community Service, train grant recipients, monitor program progress, and prepare various reports to the federal funding authorities.
- **Preparing and Responding to Disasters.** Serve Alabama, the Governor's Office of Faith Based and Volunteer Service is a part of the state's Emergency Operations Plan, serving as the lead agency for Volunteer and Donations Management outlined in Annex I in times of disaster. The office works closely with the Alabama Emergency Management Agency, Alabama Department of Homeland Security, and Alabama VOAD agencies (voluntary organizations active in disaster) to help coordinate volunteers, volunteer agency response, and management donations to the state, post disaster. Serve Alabama also assists in long term disaster recovery in the state and administers the Governor's Emergency Relief fund, which is a fund of last resort for disaster survivors in Alabama.
- **Administering Internal Operations.** A significant portion of the agency's work includes general administrative, financial, and personnel activities performed to support the programmatic areas of the agency.

Managing the Agency: Activities include internal office management activities common to most government agencies such as corresponding and communication; scheduling; meeting; documenting policy and procedures; reporting; litigating;

drafting, promoting, or tracking legislation; publicizing and providing information; managing records; and managing information systems and technology.

Managing Finances: Activities include budgeting (preparing and reviewing a budget package, submitting the budget package to the Department of Finance, documenting amendments and performance of the budget); purchasing (requisitioning and purchasing supplies and equipment, receipting and invoicing for goods, and authorizing payment for products received); accounting for the expenditure, encumbrance, disbursement, and reconciliation of funds within the agency's budget through a uniform system of accounting and reporting; authorizing travel; contracting with companies or individuals; bidding for products and services; and assisting in the audit process.

Managing Human Resources: Activities involved in managing human resources may include the following: recruiting and hiring eligible individuals to fill vacant positions within the agency; providing compensation and benefits to employees; supervising employees (evaluating performance, disciplining, granting leave, and monitoring the accumulation of leave); and providing continuing education for employees.

Managing Properties, Facilities, and Resources: Activities involved in managing properties, facilities, and resources may include the following: inventorying and accounting for non-consumable property and reporting property information to the appropriate authority; constructing buildings and facilities; leasing and/or renting offices or facilities; providing for security and/or insurance for property; and assigning, inspecting, and maintaining agency property, including vehicles.

Analysis of Record Keeping System and Records Appraisal of Serve Alabama, the Governor's Office of Faith Based and Volunteer Service

Agency Record Keeping System

Serve Alabama, the Governor's Office of Faith Based and Volunteer Service currently operates a hybrid record keeping system composed of paper and electronic records. Staff utilize several personal computers for program operations, but the office has no server itself. Most agency computers use Microsoft Office 2010. ISD maintains the agency's server and equipment and completes backups. The agency's fiscal records are maintained at the Department of Mental Health.

Records Appraisal

The following is a discussion of the two major categories of records created and/or maintained by Serve Alabama, the Governor's Office of Faith Based and Volunteer Service: Temporary Records and Permanent Records.

I. Temporary Records. Temporary records should be held for what is considered to be their active life and disposed of once all fiscal, legal and administrative requirements have been met. Some of the temporary records created by the department are discussed below:

- **Volunteer Service Program Administrative and Financial Files.** This series consists of records created to document the application, screening, approval, training, monitoring, and reporting of various volunteer program participants. Records may include, but are not limited to, completed applications, enrollment forms, grant award documents, contracts of participants, time sheets and voucher/payment for services, equipment and furnishing receipts, quarterly monitoring reports, annual progress reports, exit checklists, correspondence, and memos. Guidelines of the federal granting agency (Corporation for National and Community Service) requires state agencies receiving grants to keep all records for a minimum of three (3) years from the date of submission of the final financial status report (45 CFR 2541.420).

II. Permanent Records. The Government Records Division recommends the following records as permanent.

Coordinating Various Volunteer Service Programs

- **Meeting Agendas, Minutes, and Packets (Commission on National and Community Service).** This series contains information on proposed and executed proceedings of the Commission on National and Community Service. In addition to minutes, this series also includes meeting agendas and other supporting or reference documents. These records

should be preserved as the core documentation of the commission's operations.
(Bibliographic Title: Meeting Minutes)

- **Grant Project Final Reports.** As a recipient of federal grants, the office must prepare and submit grant project final reports to document progress and activities of programs funded by the federal government. These final reports should be maintained permanently as documentation of the office's performance of its functions and the state's achievements in utilizing resources to address critical needs of its communities.
(Bibliographic Title: Grant Project Final Narrative Reports)

- **Publicity and Informational Materials.** The office may produce from time to time publicity and informational materials, which may include brochures, announcements, and newsletters. These records provide a concentrated source of information on the agency's volunteer programs. **(Bibliographic Title: State Publications)**
- **Training Session and/or Workshop Packets, Related Materials, and Reports.** The agency provides workshops and training opportunities to local officials to help them prepare for disasters and host annual events to bring awareness to preparedness. Each summer, the agency holds an annual Be Ready Camp at the Space and Rocket Center in Huntsville. The camp is for fifth and sixth grade students and teaches them about preparedness. At the end of the week, campers respond to a mock disaster. This series may include presentations, training materials, publicity, reports, photographs, and newspaper clippings of trainings and workshops. These files should be retained permanently as they document the agency's work in raising public and governmental awareness for disaster planning and response. **(Bibliographic Title: Training Session and/or Workshop Packets, Related Materials, and Reports)**

Administering Internal Operations

- **Websites and Social Media Site(s).** The office has two websites at www.servealabama.gov and www.readyalabama.gov. Information on www.servealabama.gov includes description and participation procedures of all volunteer service programs administered by the office, calendar of events, and contact data. Information on www.readyalabama.gov includes emergency preparedness, such as creating an emergency plan and making an emergency kit, and programs aimed at preparing specific segments of the community, such as seniors and children, for emergencies. The websites should be preserved as they serve as important media for communication with the public. **(Bibliographic Title: Website)**

Permanent Records List

Serve Alabama, the Governor's Office of Faith Based and Volunteer Service

Coordinating Various Volunteer Service Programs

1. Meeting Agendas, Minutes, and Packets (Commission on National and Community Service)
2. Grant Project Final Reports
3. Publicity and Information Materials
4. Training Session and/or Workshop Packets, Related Materials, and Reports

Administering Internal Operations

1. Websites and Social Media Site(s)

*indicates records that ADAH anticipates will remain in the care and custody of the creating agency.

ADAH staff members are available to work with agency staff in determining the best location and storage conditions for the long-term care and maintenance of permanent records.

Serve Alabama, the Governor's Office of Faith Based and Volunteer Service Records Disposition Authority

This Records Disposition Authority (RDA) is issued by the State Records Commission under the authority granted by the Code of Alabama 1975 § 41-13-5 and § 41-13-20 through 21. It was compiled by the Government Records Division, Alabama Department of Archives and History (ADAH), which serves as the commission's staff, in cooperation with representatives of Serve Alabama, the Governor's Office of Faith Based and Volunteer Service. The RDA lists records created and maintained by the Serve Alabama, the Governor's Office of Faith Based and Volunteer Service in carrying out its mandated functions and activities. It establishes retention periods and disposition instructions for those records and provides the legal authority for the agency to implement records destruction.

Alabama law requires public officials to create and maintain records that document the business of their offices. These records must be protected from "mutilation, loss, or destruction," so that they may be transferred to an official's successor in office and made available to members of the public. Records must also be kept in accordance with auditing standards approved by the Examiners of Public Accounts (Code of Alabama 1975 § 36-12-2, § 36-12-4, and § 41-5-23). For assistance in implementing this RDA, or for advice on records disposition or other records management concerns, contact the ADAH Government Records Division at (334) 242-4452.

Explanation of Records Requirements

- This RDA supersedes any previous records disposition schedules and/or RDAs governing the retention of the Serve Alabama, the Governor's Office of Faith Based and Volunteer Service. Copies of superseded schedules or/and RDAs are no longer valid and should be discarded.
- The RDA establishes retention and disposition instructions for records listed below, regardless of the medium on which those records may be kept. Electronic mail, for example, is a communications tool that may record permanent or temporary information. As for records in any other format, the retention periods for e-mail records are governed by the requirements of the subfunctions to which the records belong.
- Some temporary records listed under the Administering Internal Operations subfunction of this RDA represent duplicate copies of records listed for long-term or permanent retention in the RDAs of other agencies.
- Certain records and records-related materials need not be retained as records under the disposition requirements in this RDA. Such materials include: (1) duplicate record copies that do not require official action, so long as the creating office maintains the original record for the period required; (2) catalogs, trade journals, and other publications received that require no action and do not document government activities; (3) stocks of blank stationery, blank forms, or other surplus materials that are not subject to audit and have become obsolete; (4) transitory records, which are temporary records created for

short-term, internal purposes that may include, but are not limited to: telephone call-back messages; drafts of ordinary documents not needed for their evidential value; copies of material sent for information purposes but not needed by the receiving office for future business; and internal communications about social activities; and (5) honorary materials, plaques, awards, presentations, certificates, and gifts received or maintained by the agency staff. They may be disposed of without documentation of destruction.

Records Disposition Requirements

This section of the RDA is arranged by subfunctions of the Serve Alabama, the Governor's Office of Faith Based and Volunteer Service and lists the groups of records created and/or maintain by the agency as a result of activities and transactions performed in carrying out these subfunctions. The department may submit requests to revise specific records disposition requirements to the States Records Commission for consideration at its regular quarterly meetings.

Coordinating Various Volunteer Service Programs

MEETING AGENDAS, MINUTES, AND PACKETS (COMMISSION ON NATIONAL AND COMMUNITY SERVICE)

Disposition: PERMANENT RECORD.

GRANT PROJECT FINAL REPORTS

Disposition: PERMANENT RECORD.

TRAINING SESSION AND/OR WORKSHOP PACKETS, RELATED MATERIALS, AND REPORTS

Disposition: PERMANENT RECORD.

Training Session and/or Workshop registration and evaluations

Disposition: Temporary Record. Retain 3 years.

Recordings of Meetings

Disposition: Temporary Record. Retain until the official minutes are adopted and signed.

Commission Appointment Letters

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the term expires.

Volunteer Service Program Administrative and Financial Files

Disposition: Temporary Record. Retain 5 years after the end of the fiscal year in which the grant project final reports were files.

Administering Internal Operations: Managing the Agency

WEBSITES AND SOCIAL MEDIA SITE(S)

Disposition: PERMANENT RECORD.

(ADAH staff captures and preserves the agency's website and other social media sites via a service offered by the Internet Archive [Archive-It]. Check the ADAH website at www.archive-it.org/organizations/62 to ensure your agency's website and social media site(s) are captured and preserved. If your agency's website and social media site(s) are not captured by the service, please contact the Government Records Division at 334-242-4452 to get them included.)

Routine Correspondence

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

Records documenting the implementation of the agency's RDA (copies of transmittals forms to Archives or State Records Center, destruction notices or other evidence of obsolete records destroyed, and annual reports to the State Records Commission)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Copy of RDA

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the RDA is superseded.

Program Databases

Disposition: Temporary Record. Retain until superseded.

System Documentation (hardware/software manuals and diskettes, warranties)

Disposition: Temporary Record. Retain documentation of former system 3 years after the end of the fiscal year in which former hardware and software no longer exists anywhere in the agency and all permanent records have migrated to a new system.

Administering Internal Operations: Managing Finances

Records documenting the preparation of a budget request package and reporting of the status of funds, requesting amendments of allotments, and reporting program performance

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting the requisitioning and purchasing of supplies and equipment, receipting and invoicing for goods, and authorizing payment for products

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records of original entry such as journals, registers, and ledgers; and records of funds deposited outside the state treasury, including bank statements, deposit slips, and canceled checks

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting requests for authorization from supervisors to travel on official business and other related materials, such as travel reimbursement forms and itineraries

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting contracts for services or personal property

Disposition: Temporary Record. Retain 6 years after expiration of the contract (Code of Alabama 1975 § 6-2-34).

Records documenting the bid process, including requests for proposals and unsuccessful responses

- a. Original Bid Records Maintained in the Purchasing Office of the Agency for Contracts over \$15,000
Disposition: Temporary Record. Retain 7 years after the end of the fiscal year in which the bids were opened.
- b. Duplicate copies of bid (where originals are maintained by the Finance Department - Division of Purchasing)
Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the bids were opened.

Agency Audit Reports

Disposition: Temporary Record. Retain 6 years after end of the fiscal year in which the records were created.

Administering Internal Operations: Managing Human Resources

Note: Please ensure that Serve Alabama's human resources records which are maintained by the Governor's Office are maintained for their entire retention.

Records documenting job recruitment

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

Position Classification Records

Disposition: Temporary Record. Retain 4 years after reclassification of the position.

Records documenting job description

Disposition: Temporary Record. Retain until superseded.

Certification/Personnel Transaction Files

Disposition: Temporary Record. Retain 6 years after the end of the fiscal year in which the records were created.

Records documenting application for employment

Disposition: Temporary Record. Retain 1 year after request.

Records documenting an employee's work history – generally maintained as a case file

Disposition: Temporary Record. Retain 25 years after separation of employee from the agency.

Records documenting an employee's hours worked, leave earned, and leave taken (including time sheets)

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

Employees Administrative Hearing Files

Disposition: Temporary Record. Retain 6 years after separation of the employee from the agency.

Administering Internal Operations: Managing Properties, Facilities, and Resources**SEMIANNUAL INVENTORY LISTS**

Disposition: PERMANENT RECORD. Retain in office (Code of Alabama 1975 § 36-16-8[1]).

Letters of Transmittal

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Agency Copies of Transfer of State Property Forms (SD-1)

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

Receipts of Responsibility for Property

Disposition: Temporary Record. Retain until return of item to property manager.

Computer Equipment Inventory Records

Disposition: Temporary Record. Retain until disposition of equipment.

Insurance Policies/Risk Management Records

Disposition: Temporary Record. Retain 6 years after termination of policy or membership.

Requirements and Recommendations for Implementing the Records Disposition Authority (RDA)

Under the Code of Alabama 1975 § 41-13-21, “no state officer or agency head shall cause any state record to be destroyed or otherwise disposed of without obtaining approval of the State Records Commission.” This Records Disposition Authority constitutes authorization by the State Records Commission for the disposition of the records of the Serve Alabama, the Governor’s Office of Faith Based and Volunteer Service (hereafter referred to as the agency) as stipulated in the document.

One condition of this authorization is that the agency submits an annual Records Disposition Authority (RDA) Implementation Report on agency records management activities, including documentation of records destruction, to the State Record Commission in October of each year. In addition, the agency should make every effort to establish and maintain a quality record-keeping program through the following activities:

- The agency should designate a records liaison, who is responsible for: ensuring the development of quality record keeping systems that meet the business and legal needs of the agency, coordinating the transfer and destruction of records, ensuring the permanent records held on alternative storage media (such as microfilms and digital imaging systems) are maintained in compliance with national and state standards, and ensuring the regular implementation of the agency’s approved RDA.
- Permanent records in the agency’s custody should be maintained under proper intellectual control and in an environment that will ensure their physical order and preservation.
- Destruction of temporary records, as authorized in this RDA, should occur agency-wide on a regular basis – for example, after the successful completion of an audit, at the end of an administration, or at the end of a fiscal year. Despite the RDA’s provisions, no record should be destroyed that is necessary to comply with requirements of the state Sunset Act, audit requirements, or any legal notice or subpoena.
- The agency should maintain full documentation of any computerized record-keeping system it employs. It should develop procedures for: (1) backing up all permanent records held in electronic format; (2) storing a back-up copy off-site; and (3) migrating all permanent records when the system is upgraded or replaced. If the agency chooses to maintain permanent records solely in electronic format, it is committed to funding any system upgrades and migration strategies necessary to ensure the records’ permanent preservation and accessibility.
- Electronic mail contain permanent, temporary, or transitory record information, Although e-mail records can be printed out, filed, and retained according to the RDA’s requirements, the division should preferably employ an electronic records management system capable of sorting e-mail into folders and archiving messages having long-term value.

The staff of the State Records Commission or the Examiners of Public Accounts may examine the condition of the permanent records in the custody of the agency and inspect records destruction documentation. Government Records Division archivists are available to instruct the agency staff in RDA implementation and otherwise assist the agency in implementing its records management program.

The State Records Commission adopted this revision to the Records Disposition Authority on October 23, 2013.

Steve Murray, Chairman, by Tracey Berezansky
State Records Commission

Date

Receipt acknowledged:

Jon Mason, Executive Director
Serve Alabama, the Governor's Office of
Faith Based and Volunteer Services

Date